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Art Unit: 2181

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From : Winston Hsu, Registration No. 41,526

Serial No.: 10/707,871

Attorney Docket No.: IFTP0001USA

Subject: Information Disclosure Statement (IDS)

Total Pages: 12 pages (including cover page)

Winston Hsu 2006/03/02

IFT0001USA0_D1_1

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PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0551-0031

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/707,871	
	Filing Date	01/20/2004	
	First Named Inventor	Ling-Yi Liu	
	Art Unit	2181	
	Examiner Name	Borkowski, Robert	
Total Number of Pages in This Submission	11	Attorney Docket Number	IFTP0001USA

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	North America Intellectual Property Corporation		
Signature	<i>Winston Hsu</i>		
Printed name	Winston Hsu		
Date	3/2/2006	Reg. No.	41,526

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature	<i>Cindy Lin</i>		
Typed or printed name	Cindy Lin	Date	3/2/2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04v2)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL For FY 2005

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0.00

Complete if Known

Application Number 10/707,871
Filing Date 01/20/2004
First Named Inventor Ling-Yi Liu
Examiner Name Borkowski, Robert
Art Unit 2181
Attorney Docket No. IFTP0001USA

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____
☒ Deposit Account Deposit Account Number: 50-3105 Deposit Account Name: North America Intellectual Property Corporation

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Small Entity	Fee (\$)	Small Entity	Fee (\$)	Small Entity	Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Small Entity	Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180
Total Claims	Extra Claims	Fee (\$)
- 20 or HP =	x	=
HP = highest number of total claims paid for, if greater than 20.		
Indep. Claims	Extra Claims	Fee (\$)
- 3 or HP =	x	=
HP = highest number of independent claims paid for, if greater than 3.		

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets - 100 = Extra Sheets / 50 Number of each additional 50 or fraction thereof Fee (\$)

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): submission of Information Disclosure Statement

Fees Paid (\$)

0.00

SUBMITTED BY

Signature *Winston Hsu* Registration No. 41,526 Telephone 3027291562
Name (Print/Type) Winston Hsu Date 3/2/2006

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Complete if Known

Application Number	10/707,871
Filing Date	01/20/2004
First Named Inventor	Ung-Yi Liu
Art Unit	2181
Examiner Name	Borkowski, Robert
Attorney Docket Number	IFTP0001USA

Sheet	1	of	2
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Examiner Signature		Date Considered	
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PTO/SB/08B (07-05)

Approved for use through 07/31/2008. OMB C651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/707,871
				Filing Date	01/20/2004
				First Named Inventor	Ling-Yi Liu
				Art Unit	2181
				Examiner Name	Borkowski, Robert
Sheet	2	of	2	Attorney Docket Number	IFTP0001USA

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T2
	1	"SAS and S-ATA: Newest Storage Interface Technology Disclosure", Hardware, 2003, pp. 42-45, Vol. 5.	+

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

† Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Ling-Yi Liu, Tse-Han Lee, Michael Gordon
5 Schnapp, Yun-Huei Wang, Chung-Hua Pao
Appl. No.: 10/707,871
Filing Date: 01/20/2004
Examiner Name: Borkowski, Robert
Group Art Unit: 2181
10 Confirmation Number: 1870
Docket No.: IFTP0001USA

Title: STORAGE VIRTUALIZATION COMPUTER SYSTEM AND
EXTERNAL CONTROLLER THEREFOR

15

To: Commissioner for Patents
P.O. BOX 1450
Alexandria, VA 22313-1450

20 Subject: Information disclosure statement under 37
CFR §1.56

Dear Sir/Madam,

25

This is an Information Disclosure Statement in
accordance with the duty to disclose information
material to patentability under 37 CFR §1.56. The
applicants wish to make of record the documents listed
30 on the accompanying form PTO/SB/08.

Since this IDS is filed before the mailing date of

the first Office action, consideration of the information disclosure statement is hereby requested according to 37 CFR §1.97(b).

5 The first cited document (attached magazine article entitled "SAS and S-ATA: Newest Storage Interface Technology Disclosure") was cited in an office action during the prosecution of the corresponding Chinese patent application for the above-identified application and describes in the
10 S-ATA market section that S-ATA is suitable for use by current Parallel-ATA RAID users, and that S-ATA provides a hot-plug function. The article further reports that S-ATA II Phase 1 will improve management of the storage system including fan control, hard-drive status indicators, backplane temperature
15 control, and new equipment insertion indicators; and will include support for SES, SAF-TE storage management that is not present in Parallel-ATA. Additionally, the article discloses that S-ATA II Phase 2 will include a port supporting the taking-over thereof by two active hosts without requiring
20 system shutdown.

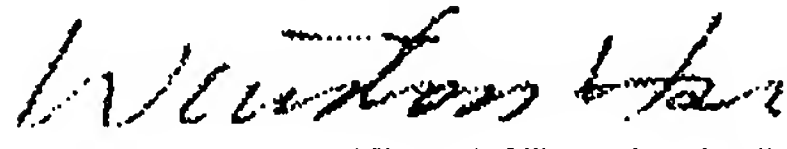
According to the requirement set forth in 37 CFR §1.98, a copy of the cited Chinese reference and its English language abstract is included to fulfill the concise
25 explanation requirement.

It is respectfully requested that the examiner can consider the documents listed on the accompanying form PTO/SB/08 and that it be made of record in the application.
30 The applicants sincerely hope that the examiner initials the cited references on the form and that a copy of the initialed form be sent to the applicants with the next communication

from the examiner.

5

Respectfully submitted,



Date: March 02, 2006

10 Winston Hsu, Patent Agent No. 41,526
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